



CIRO · OCRI

Canadian Investment
Regulatory
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Organisme canadien
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CIRO Proficiency Program

1001 – Exam Candidate Conduct Policy

Supported by



FitchLearning



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Purpose of Policy

The purpose of this document is to set out definitions, exam conduct requirements and related matters.

Scope of Policy

This policy applies to all Candidates enrolling in CIRO Exams.

Definitions and Terminology

The following terminology applies throughout this document:

- **CIRO Exam:** any exam offered by CIRO, delivered and supported by Fitch Learning.
- **Candidate:** an individual who is taking, or intends to take, a CIRO Exam.
- **Exam Enrolment:** purchase of the right to schedule up to three attempts of a CIRO Exam within the Enrolment Period.
- **Enrolment Period:** the period from the date of Exam Enrolment up to a maximum of 12 months, during which the Candidate may complete up to three Exam Attempts for a specific exam.
- **Enrolment Fee:** a fee for the first Exam Attempt within an Enrolment Period.
- **Retake Fee:** a fee for the second or third Exam Attempt within an Enrolment Period.
- **Exam Attempt:** an Exam Attempt is recorded where a Candidate takes an individual CIRO Exam and receives a pass, fail or absent result.
- **Cooling-off Period:** the six-month period that occurs after three failed (or absent) Exam Attempts within six months. During this time, Exam Enrolment, scheduling and further Exam Attempts are not permitted.
- **Exemption:** a Candidate may be excused from the requirements of the policy due to Exceptional Circumstances.
- **Exceptional Circumstances:** the specific conditions under which an Exemption may be considered.

Policy Requirements

Candidates taking a CIRO Exam must refrain from:

- Cheating, including copying, receiving help from others or using unauthorized devices or aids, or assisting other candidates to cheat.
- Attempting to compromise exam content security (including unauthorized reproducing, distributing, displaying, discussing, sharing or otherwise misusing exam questions or any part of exam questions or aiding in such conduct) before, during or after sitting an exam.
- Using confidential information, including exam content, for purposes other than personally taking the exam.
- Employing deceptive means, including giving to CIRO or Fitch Learning, any document or testimony that holds false information or omits information to sit, attempt to sit or aid others in sitting an exam.
- Falsely representing themselves, or aiding others in falsely representing themselves; this includes attempting to take the exam for someone else or having someone else take the exam for you.
- Engaging in violent, threatening, harassing, obscene, profane or abusive communications or actions with CIRO, Fitch Learning or others acting on their behalf.



- Making statements that would disclose non-public information about CIRO, Fitch Learning, the exams or the exam processes or procedures.
- Failing to comply with any other policies, including Test Centre or Remote Exam Policies.
- Misrepresentation of the statements set out in the attestations provided.
- The list noted above is non-exhaustive, and for the purpose of illustration. Candidates must refrain from engaging in any conduct that is deceptive, manipulative or abusive.

Policy Breach

Fitch Learning exam delivery representatives will report to Fitch Learning and Fitch Learning may report to CIRO any breach to this policy.

Misconduct may result in penalties, including:

- Halting of an exam.
- Revocation of an exam result.
- Conditions imposed for future attempts or enrolments.
- Temporary or permanent prohibition to enrol in future exams.

Misconduct may result in regulatory actions as considered appropriate by CIRO.

Roles and Responsibilities

Fitch Learning, its representatives and CIRO will investigate allegations of misconduct, as appropriate.

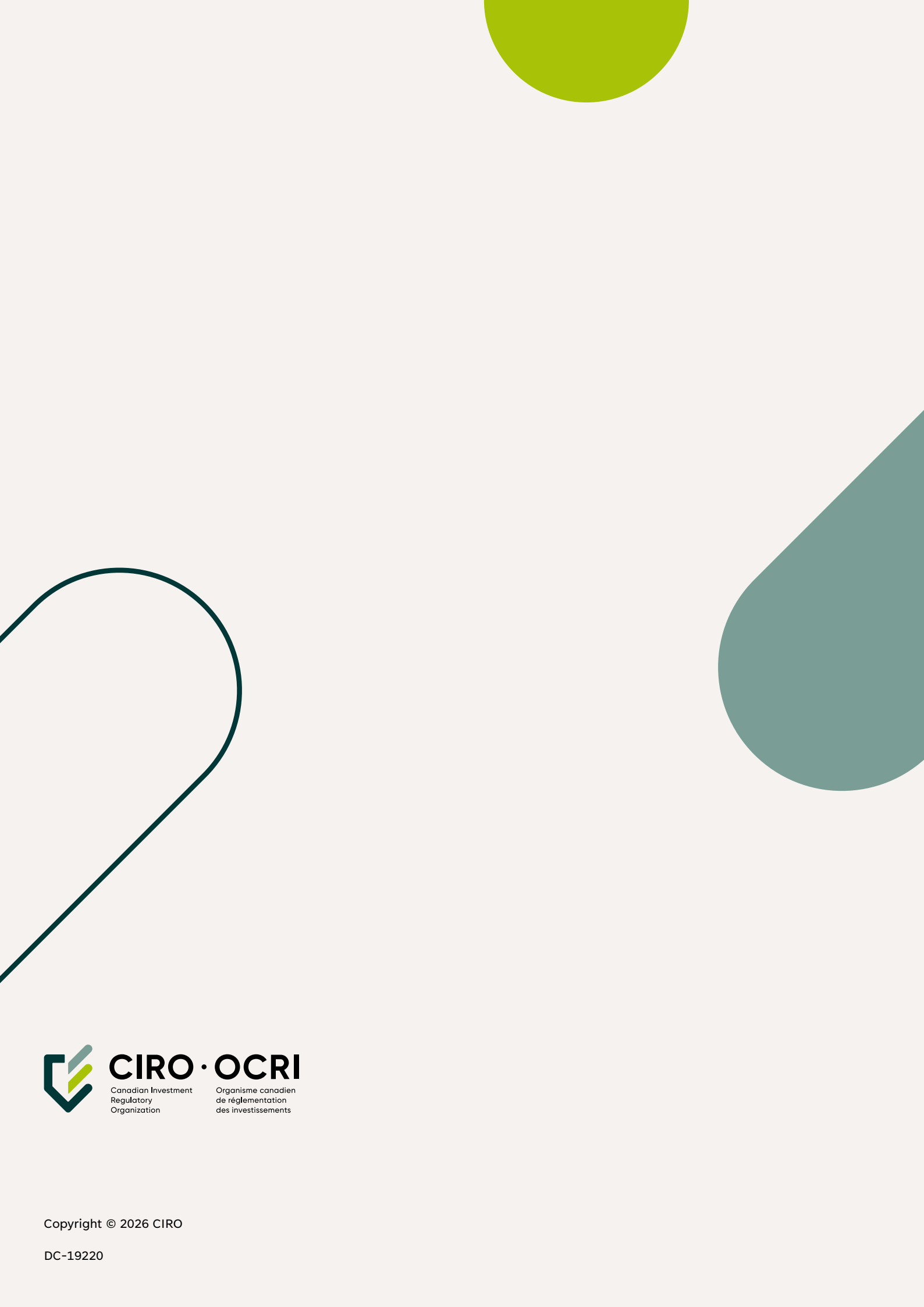
Candidates are responsible for compliance with this policy, and for providing Fitch Learning and CIRO with any appropriate information requested to support the investigation of their conduct.

Appendices

[Remote Exam Policy](#)

[Test Centre Exam Policy](#)

[Exam Enrolment and Attempts Policy](#)



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